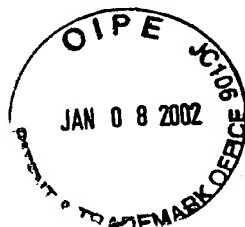


DOCKET NO.: UNMC-0027



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Steven M. Tracy and Nora M. Chapman

# 3

Serial No.: 09/817,748

Group No.: 1653

Filing Date: March 26, 2001

Examiner: Not Assigned Yet

For: Cocksackievirus Vectors and Their Uses in Prevention and Treatment of Disease

DATE OF DEPOSIT:

11/8/01

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO BOX MISSING PARTS, ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231.

TYPED NAME: Janet E. Reed  
REGISTRATION NO.: 36,252

BOX MISSING PARTS

Assistant Commissioner for Patents  
Washington DC 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION AND  
REQUEST FOR EXTENSION OF TIME

In response to the "Notice to File Missing Parts of Application--Filing Date Granted" dated June 1, 2001, a response to which is due December 1, 2001, enclosed herewith for filing is:

- ☒ A copy of the Notice to File Missing Parts.
- ☒ The original Combined Declarations and Powers of Attorney, executed by the inventor(s).
- ☒ An Associate Power of Attorney is also enclosed.
- ☒ Basic Filing Fee of \$355.00.
- ☐ Request for Corrected Filing Receipt.

01/14/2002 BNGUYEN1 00000013 233050 09817748

01 FC:218

720.00 OP

- ☐ A substitute specification in compliance with 37 C.F.R. 1.52.
- ☐ \_\_\_\_\_ Sheets of Substitute drawings in compliance with 37 C.F.R. 1.84.
- ☒ Other: Associate Power of Attorney.
- ☐ Applicant(s) has previously claimed small entity status under 37 CFR §1.27.
- ☒ Applicant(s) by its/their undersigned attorney, claims small entity status under 37 CFR §1.27 as:
- ☐ an Independent Inventor
- ☐ a Small Business Concern
- ☒ a Nonprofit Organization
- ☒ Request is hereby made under 37 CFR 1.136(a) to extend the time for response to the Notice to File Missing Parts of Application of June 1, 2001 to and through December 1, 2001, comprising an extension of the shortened period of four months:

	SMALL ENTITY		NOT SMALL ENTITY	
	RATE	FEE	RATE	FEE
MISSING PARTS SURCHARGE	\$65	\$65	\$130	\$
<input type="checkbox"/> ONE MONTH EXTENSION OF TIME	\$55	\$	\$110	\$
<input type="checkbox"/> TWO MONTH EXTENSION OF TIME	\$200	\$	\$400	\$
<input type="checkbox"/> THREE MONTH EXTENSION OF TIME	\$460	\$	\$720	\$
<input checked="" type="checkbox"/> FOUR MONTH EXTENSION OF TIME	\$720	\$720	\$1440	\$
<input type="checkbox"/> FIVE MONTH EXTENSION OF TIME	\$980	\$	\$1960	\$
TOTAL FEE DUE		\$785.00		

Applicant(s) has/have not been notified that the requested extension will not be permitted. The present application is not involved in an interference declared pursuant to 37 CFR 1.207.

Total fee required \$1221.00

- ☒ A check in the amount of \$1221.00 is attached to cover the Basic Filing Fee OF \$355.00, additional claims of \$81.00, surcharge of \$65.00 and 4-Month Extension

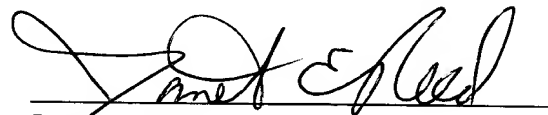
of Time Fees of \$720.00. Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

- ☐ Please charge the surcharge to my Deposit Account No. 23-3050 in the amount of \$\_\_\_\_\_.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in duplicate.
- ☒ Any additional filing fees required under 37 CFR 1.16 including fees for presentation of extra claims.
  - ☒ Any additional patent application processing fees under 37 CFR 1.17 and under 37 CFR 1.20(d).
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in duplicate.
- ☒ Any patent application processing fees under 37 CFR 1.17 and under 37 CFR 1.20(d).
  - ☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).
  - ☒ Any filing fees under 37 CFR 1.16 including fees for presentation of extra claims.

This sheet is attached in duplicate.

Date:

11/8/01



Janet E. Reed  
Registration No. 36,252

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Philadelphia PA 19103  
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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
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09/817,748

03/26/2001

Steven M. Tracy

UNMC 63116-CIP/13292-

00047

SAUL EWING LLP  
Centre Square West  
38th Floor  
1500 Market Street  
Philadelphia, PA 19102-2186

RECEIVED  
IP GROUP  
JUN 06 2001  
SAULEWING REMICK  
& SAUL LLP

CONFIRMATION NO. 7857

FORMALITIES LETTER



\*OC000000006137850\*

Due: 8/1/01  
Final: 12/1/01

Date Mailed: 06/01/2001

# NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/14/2002 BNGUYEN1 00000013 233050 09817748

02 FC:205  
03 FC:203  
04 FC:201

15.00 CH

65.00 OP  
81.00 OP  
355.00 OP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$162.  
■ \$162 for 9 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1002.**
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in

computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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*A copy of this notice **MUST** be returned with the reply.*



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Customer Service Center

Initial Patent Examination Division (703) 308-1202

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